

FORM PTO-1390  
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

10191/3964

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/530612**

INTERNATIONAL APPLICATION NO.

**PCT/DE03/02971**

INTERNATIONAL FILING DATE

**(09.09.2003)****09 September 2003**

PRIORITY DATE CLAIMED:

**(14.10.02)****14 October 02**

TITLE OF INVENTION

**PLASMA SYSTEM AND METHOD FOR ANISOTROPICALLY ETCHING STRUCTURES INTO A SUBSTRATE**

APPLICANT(S) FOR DO/EO/US

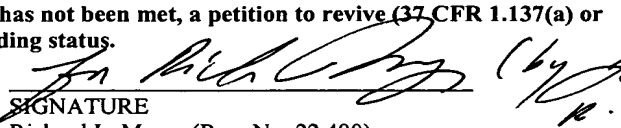
**LAERMER, Franz and URBAN, Andrea**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) (unsigned).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☒ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: **International Search Report (translated) and PCT/RO/101.**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER
10/530612		PCT/DE03/02971		10191/3964
The following fees are submitted:				
21. <input checked="" type="checkbox"/> Basic National Fee .....		\$ 300.00	\$ 300.00	
22. <input type="checkbox"/> Examination Fee				
—If International preliminary exam report prepared by USPTO and all claims satisfy provisions of PCT Article 33/(1)(4).....		\$ 100.00		
<input checked="" type="checkbox"/> All other situations.....		\$ 200.00	\$ 200.00	
23. <input type="checkbox"/> Search Fee				
—Search Fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as ISA.....		\$ 100.00		
<input checked="" type="checkbox"/> International Search Report prepared and provided to the Office. ....		\$ 400.00	\$ 400.00	
—All other situations.....		\$ 500.00	\$	
<b>TOTAL OF (21), (22), &amp; (23) =</b>			<b>\$ 900.00</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing on computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.				
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE	
-100	/50=		x \$250	\$
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	20 - 20 =		x \$50.00	\$
Independent Claims	2 - 3 =		x \$200.00	\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$
<b>TOTAL OF ABOVE CALCULATIONS =</b>			<b>\$ 900.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				
<b>SUBTOTAL =</b>			<b>\$ 900.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$
<b>TOTAL NATIONAL FEE =</b>			<b>\$</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet. \$40.00 per property.				\$
<b>TOTAL FEES ENCLOSED =</b>			<b>\$ 900.00</b>	
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.		Amount to be refunded:	\$	
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>11-0600</u> in the amount of \$900.00 to cover the above fees. A duplicate of this sheet is enclosed.		Amount to be charged	\$ 900.00	
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to .....Deposit Account No. <u>11-0600</u> . A duplicate copy of this sheet is enclosed.				
d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.				
<p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:  KENYON &amp; KENYON  One Broadway  New York, New York 10004  <b>CUSTOMER NO. 26646</b></p>				
		SIGNATURE  Richard L. Mayer (Reg. No. 22,490) NAME 4/7/05 DATE		